



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael A. Apicella et al. Art Unit : 1652
Serial No. : 09/574,460 Examiner : Yong D. Pak
Filed : May 18, 2000
Title : PRODUCTION OF COMPLEX CARBOHYDRATES

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TERMINAL DISCLAIMER UNDER 37 CFR §§3.73(b) AND 1.321(b)

Pursuant to 37 CFR §3.73(b), the UNIVERSITY OF IOWA RESEARCH FOUNDATION and THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, certify that they are the assignees of the entire right, title, and interest in the above application by virtue of an assignment from the inventors of the patent application identified above.

The assignment from Michael A. Apicella to the UNIVERSITY OF IOWA RESEARCH FOUNDATION was recorded in the Patent and Trademark Office at Reel 011165, Frame 0223 on October 6, 2000. A copy of the assignment is attached.

The assignment from Bradford W. Gibson and Nancy J. Phillips to THE REGENTS OF THE UNIVERSITY OF CALIFORNIA was recorded in the Patent and Trademark Office at Reel 011165, Frame 0284 on October 6, 2000. A copy of the assignment is attached.

The undersigned has reviewed all the documents in the chain of title of the above-identified application and to the best of undersigned's knowledge and belief, title is jointly held by the UNIVERSITY OF IOWA RESEARCH FOUNDATION and THE REGENTS OF THE UNIVERSITY OF CALIFORNIA.

The undersigned is empowered to act on behalf of the assignees.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

September 2, 2004

Date of Deposit


Signature

Jill Huso

Typed or Printed Name of Person Signing Certificate

Pursuant to 37 CFR §1.321(b), and to obviate a double patenting rejection, the assignees identified above hereby waive and disclaim the terminal portion of the term of the entire patent to be granted upon the above identified application subsequent to the expiration date of U.S. Patent No. 6,743,607, whereby the patent granted on this application and U.S. Patent No. 6,743,607 will expire on the same day, provided that any patent granted on the above identified application shall be enforceable only for and during such period that it is commonly owned with U.S. Patent No. 6,743,607.

The assignee identified above does not disclaim any terminal part of any patent granted on the above identified application prior to the expiration date of the full statutory term of U.S. Patent No. 6,743,607 in the event that it later: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR §1.321(a), has all claims cancelled by a reexamination certificate, or is otherwise terminated prior to expiration of its statutory term, except for the separation of legal title as stated above. Assignee herein does not disclaim or otherwise affect any part of U.S. Patent No. 6,743,607.

This disclaimer runs with any patent granted on the above application and is binding upon the grantee, its successors or assigns.

Please charge any additional fees, or make any credits, to Deposit Account No. 06-1050, referencing Attorney Docket No. 17023-004001.

Applicant : Michael A. Apicella et al.
Serial No. : 09/574,460
Filed : May 18, 2000
Page : 3 of 3

Attorney's Docket No.: 17023-004001 / 98010

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

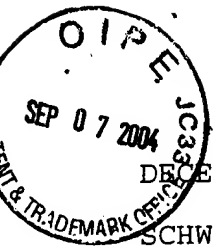
Respectfully submitted,

Date: 2 September 2004



Ann S. Viksnins
Reg. No. 37,748

Fish & Richardson P.C., P.A.
60 South Sixth Street
Suite 3300
Minneapolis, MN 55402
Telephone: (612) 335-5070
Facsimile: (612) 288-9696



875.009451



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

DECEMBER 12, 2000

PTAS

SCHWEGMAN, LUNDBERG, WOESSNER ET AL
KATHLEEN R. TERRY
P.O. BOX 2938
MINNEAPOLIS, MN 55402



101494505A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/06/2000

REEL/FRAME: 011165/0223
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

APICELLA, MICHAEL A.

DOC DATE: 07/19/2000

ASSIGNEE:

UNIVERSITY OF IOWA RESEARCH
FOUNDATION
100 OAKDALE CAMPUS, #214 TIC
IOWA CITY, IOWA 52242-5000

SERIAL NUMBER: 09574460
PATENT NUMBER:

FILING DATE: 05/18/2000
ISSUE DATE:

SEDLEY PYNE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Schwegman, Lundberg,
Woessner & Kluth, P.A.

DEC 18 2000

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10-23-2000

Atty Ref/Docket No.: 875.009US1



To the Honorable Commissioner of Patents and Trade

or copy thereof.

1. Name of conveying party(ies):

Michael A. Apicella

2. Name and address of receiving party(ies):

Name: University of Iowa Research Foundation

Additional name(s) of conveying party(ies) attached? [] Yes [X] No

Street Address: 100 Oakdale Campus, #214 TIC

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

City: Iowa City State: IA ZIP: 52242-5000

Additional name(s) & address(es) attached? [] Yes [X] No

Execution Date: July 19, 2000

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 09/574,460, filed May 18, 2000

Additional numbers attached? [] Yes [X] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kathleen R. Terry

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.
P.O. Box 2938
Minneapolis, MN 55402

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our
Deposit account number: 19-0743

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kathleen R. Terry/Reg. No. 31.884
Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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10/20/2000 610H11 00000000 09574460

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ASSIGNMENT

WHEREAS, I, Michael A. Apicella, residing at 2646 Johnsons Crossing, N.E., Solon, IA 52333, made certain new and useful inventions and improvements for which I filed an application for Letters Patent of the United States on May 18, 2000, which application is assigned U.S. patent application serial number 09/574,460, and is entitled PRODUCTION OF COMPLEX CARBOHYDRATES.

AND WHEREAS, University of Iowa Research Foundation, a corporation organized and existing under and by virtue of the laws of the State of Iowa, and having an office and place of business at 100 Oakdale Campus, #214 TIC, Iowa City, IA 52242-5000, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefore;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, I have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, I do hereby agree that I and my executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore I covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

IN TESTIMONY WHEREOF, I have hereunto set my hand

this 19 day of July, 2000.

Michael A. Apicella
Michael A. Apicella

STATE OF Iowa)
COUNTY OF Johnson)ss.

On this 19th day of July, 2000 before me personally appeared Michael A. Apicella to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

Robert K. Spencer
Notary Public expires 02/15/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. Apicella et al.

Title: PRODUCTION OF COMPLEX CARBOHYDRATES

Docket No.: 875.009US1

Filed: May 18, 2000

Examiner: Unknown

Serial No.: 09/574,460

Due Date: N/A

Group Art Unit: Unknown

Attn: Box Assignment

Hon. Commissioner for Patents and Trademarks

Washington, D.C. 20231

We are transmitting herewith the attached:

☒ An Assignment of the invention to University of Iowa Research Foundation (2 pgs.) and Recordation Form Cover Sheet (1 pg.).

☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee.

☒ A return postcard.

Other: ____

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

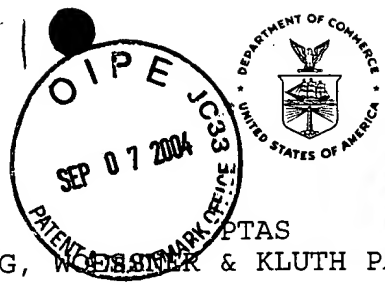
By: Kathleen R. Terry
Name: Kathleen R. Terry
Reg. No. 31,884
KRT:CMG:jds

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JASON SMITH
Name

JASON SMITH
Signature

875.0091251



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Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

DECEMBER 13, 2000

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH PA
KATHLEEN R. TERRY
P.O. BOX 2938
MINNEAPOLIS, MN 55402



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RECORDATION DATE: 10/06/2000

REEL/FRAME: 011165/0284
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
GIBSON, BRADFORD W.

DOC DATE: 07/28/2000

ASSIGNOR:
PHILLIPS, NANCY J.

DOC DATE: 07/28/2000

ASSIGNEE:
REGENTS OF THE UNIVERSITY OF
CALIFORNIA
1111 FRANKLIN ST., 12TH FLOOR
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 09574460
PATENT NUMBER:

FILING DATE: 05/18/2000
ISSUE DATE:

Schwegman, Lundberg,
Woessner & Kluth, P.A.

DEC 18 2000

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011165/0284 PAGE 2

PEARLENE FOSTER, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

10-23-2000

Atty Ref/Docket No.: 875.009US1



To the Honorable Commissioner of Patents and Trad

101494500

or copy thereof.

1. Name of conveying party(ies):

Bradford W. Gibson and Nancy J. Phillips

2. Name and address of receiving party(ies):

Name: Regents of the University of California

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

Street Address: 1111 Franklin St., 12th Floor

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

City: Oakland State: CA ZIP: 94607-5200

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Execution Date: July 28, 2000; July 28, 2000

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 09/574,460, filed May 18, 2000

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kathleen R. Terry

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.
P.O. Box 2938
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our
Deposit account number: 19-0743

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kathleen R. Terry/Reg. No. 31.884

Name of Person Signing

Signature

Date

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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ASSIGNMENT

WHEREAS, WE, Bradford W. Gibson, residing at 1324 Peralta Avenue, Berkeley, CA 94702, and Nancy J. Phillips, residing at 6018 Colby Street, Oakland, CA 94618, made certain new and useful inventions and improvements for which We filed an application for Letters Patent of the United States on May 18, 2000, which application was assigned U.S. patent application serial number 09/574,460, and is entitled PRODUCTION OF COMPLEX CARBOHYDRATES.

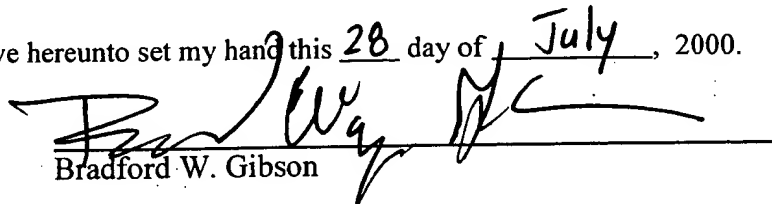
AND WHEREAS, Regents of the University of California, a corporation organized and existing under and by virtue of the laws of the State of California, and having an office and place of business at 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefore;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me/us and that full right to convey the same as herein expressed is possessed by us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 28 day of July, 2000.

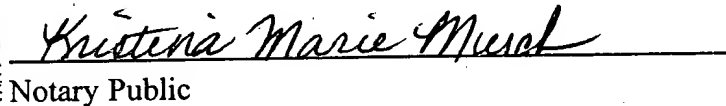

Bradford W. Gibson

STATE OF California
COUNTY OF San Francisco

On this 28th day of July, 2000 before me personally appeared Bradford W. Gibson to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]




Notary Public

IN TESTIMONY WHEREOF, I have hereunto set my hand this 28 day of July, 2000.


Nancy J. Phillips


STATE OF California
COUNTY OF San Francisco

On this 28th day of July, 2000 before me personally appeared Nancy J. Phillips to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein

set forth

[SEAL]




Notary Public

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. Apicella et al.

Title: PRODUCTION OF COMPLEX CARBOHYDRATES

Docket No.: 875.009US1

Serial No.: 09/574,460

Filed: May 18, 2000

Due Date: N/A

Examiner: Unknown

Group Art Unit: Unknown

Attn: Box Assignment

Hon. Commissioner for Patents and Trademarks

Washington, D.C. 20231

We are transmitting herewith the attached:

- ☒ An Assignment of the invention to Regents of the University of California (2 pgs.) and Recordation Form Cover Sheet (1 pg.).
- ☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee.
- ☒ A return postcard.
- Other: ____.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By: Kathleen R. Terry
Name: Kathleen R. Terry
Reg. No. 31,884
KRT:CMG:jds

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Box Assignment, Hon. Commissioner for Patents and Trademarks, Washington, D.C. 20231, on this 3 day of October, 2000.

JASON SMITH
Name

JASON SMITH
Signature